



Arnold Schwarzenegger
Governor

May 12, 2010
22M:377:kfw:1086

Ms. Karen Fies, Director
Sonoma County Workforce Investment Board
2227 Capricorn Way, Suite 207 E
Santa Rosa, CA 95402

Dear Ms. Fies:

AMERICAN RECOVERY AND REINVESTMENT ACT
PROGRAM REVIEW
FINAL MONITORING REPORT
PROGRAM YEAR 2009-10

This is to inform you of the results of our review for Program Year (PY) 2009-10 of the Workforce Investment Board of the County of Sonoma's (SCWIB) activities funded by the American Recovery and Reinvestment Act of 2009 (ARRA). We focused this review on the following areas: program administration, local level monitoring, management information system/reporting, incident reporting, nondiscrimination and equal opportunity, grievance and complaint system, and program operations including ARRA activities and participant eligibility.

This review was conducted by Ms. Karen Fuller-Ware from January 11, 2010 through January 14, 2010.

Our review was conducted under the authority of Sections 667.400 (a) and (c) and 667.410 of Title 20 of the Code of Federal Regulations (20 CFR). The purpose of this review was to determine the level of compliance by SCWIB with applicable federal and state laws, regulations, policies, and directives related to the ARRA grant.

We collected the information for this report through interviews with SCWIB representatives, service provider staff, and ARRA participants. In addition, this report includes the results of our review of selected case files, SCWIB's response to Sections I and II of the ARRA Program On-Site Monitoring Guide, and a review of applicable policies and procedures for PY 2009-10.

We received your response to our draft report on April 12, 2010 and reviewed your comments and documentation before finalizing this report. Because your response adequately addressed the finding cited in the draft report, no further action is required and we consider the issue resolved.

BACKGROUND

For PY 2009-10, SCWIB was allocated: \$503,319 to serve 1,065 adult participants; \$1,202,716 to serve 150 youth participants; and \$1,484,548 to serve 1,187 dislocated worker participants.

For the quarter ending September, 2009, SCWIB reported the following expenditures for its ARRA funded activities: \$50,349 for adult participants; \$ 1,186,951 for youth participants; and \$193,117 for dislocated worker participants. In addition, SCWIB reported the following enrollments: 506 adult participants; 164 youth participants; and 726 dislocated worker participants. We reviewed case files for 30 of the 1,396 participants enrolled in ARRA funded activities as of January 11, 2010.

PROGRAM REVIEW RESULTS

While we conclude that, overall, SCWIB is meeting applicable ARRA requirements, we noted an instance of noncompliance in the area of right to work. The finding that we identified in this area is specified below.

FINDING 1

Requirement: WIA Section 188(a)(5) states, in part, that participation in programs and activities under this title shall be available to citizens and other immigrants authorized to work in the United States.

The Form I-9 (Employment Eligibility Verification) lists the acceptable documents that may be used to verify an individual's right-to-work. An individual's identity and employment eligibility must be verified. Among these documents that can be used for employment eligibility is the Social Security Card.

WIAD04-18 states, in part, that the documentation of an individual's employability (right-to-work) must be conducted in compliance with Title 8 CFR Section 274a.2 which states the federal requirements and procedures persons or entities must comply with when hiring, or when recruiting or referring for a fee, or when continuing to employ individuals in the United States.

WIAD04-18 also states, in part, that Local Workforce Investment Areas are responsible for ensuring that adequate documentation are contained in their participant case files to minimize the risk of disallowed costs.

According to the WIA Eligibility Technical Assistance Guide (TAG), a social security card is invalid if not signed by the number holder unless health or age prevent signature.

Observation: Of the 30 case files we reviewed, we observed that 4 files contained unsigned copies of the participant's Social Security Card. Subsequent to the review, SCWIB provided copies of signed Social Security Cards for 2 of the 4 participants in question.

Recommendation: We recommended that SCWIB provide Compliance Review Office with a corrective action plan to ensure that, in the future, all Social Security Cards used to determine employment eligibility are signed.

SCWIB's Reponse: The SCWIB stated that their corrective action plan is to provide staff with additional training on eligibility requirements and to modify an internally used document (Case File Review Worksheet), to include "a signed social security card" must be reviewed to determine employment eligibility.

State Conclusion: The SCWIB's's stated corrective action should be sufficient to resolve this issue and no further corrective action required.

Because the methodology for our monitoring review included sample testing, this report is not a comprehensive assessment of all of the areas included in our review. It is SCWIB's responsibility to ensure that its systems, programs, and related activities comply with the ARRA grant program, federal and state regulations, and applicable state directives. Therefore, any deficiencies identified in subsequent reviews, such as an audit, would remain SCWIB's responsibility.

Please extend our appreciation to your staff for their cooperation and assistance during our review. If you have any questions regarding this report or the review that was conducted, please contact Jennifer Shane at (916) 654-1292.

Sincerely,



JESSIE MAR, Chief
Compliance Monitoring Section
Compliance Review Office

cc: Terri Austin, MIC 50
Jose Luis Marquez, MIC 50
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